#### IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

WANG et al.

Appl. No.: To Be Assigned

(Continuation of Appl. No. 10/151,932; Filed: May 22, 2002)

Filed: April 2, 2004

For: System And Method For Retiring

Approximately Simultaneously A Group Of

Instructions In A Superscalar

Microprocessor

Confirmation No.: To Be Assigned

Art Unit: To Be Assigned

Examiner: To Be Assigned

Atty. Docket: SP038.C5 (1397.0140005)

#### **Information Disclosure Statement**

Commissioner for Patents PO Box 1450 Alexandria, VA 22313-1450

Sir:

Listed on accompanying Form PTO-1449 are documents that may be considered material to the examination of this application, in compliance with the duty of disclosure requirements of 37 C.F.R. §§ 1.56, 1.97 and 1.98.

Where the publication date of a listed document does not provide a month of publication, the year of publication of the listed document is sufficiently earlier than the effective U.S. filing date and any foreign priority date so that the month of publication is not in issue. Applicants have listed publication dates on the attached PTO-1449 based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the date indicated.

Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may

not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

This statement should not be construed as a representation that a search has been made, or that information more material to the examination of the present patent application does not exist. The Examiner is specifically requested not to rely solely on the material submitted herewith.

Applicants have checked the appropriate boxes below.

- 1. Statement under 37 C.F.R. 1.704(d). Each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in 37 C.F.R. § 1.56(c) more than thirty days prior to the filing of this information disclosure statement.
- 2. Filing under 37 C.F.R. § 1.97(b). This Information Disclosure Statement is being filed within three months of the date of filing of a national application other than a continued prosecution application (CPA), OR within three months of the date of entry of the national stage as set forth in 37 C.F.R. § 1.491 in an international application, OR before the mailing date of a first Office Action on the merits OR before the mailing of a first Office Action after the filing of a request for continued examination under 37 C.F.R. § 1.114. No statement or fee is required.

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☐ 3.	Filing	under 37 C.F.R. § 1.97(c). This Information Disclosure Statement is being								
	filed n	nore than three months after the U.S. filing date AND after the mailing date								
	of the	first Office Action on the merits, but before the mailing date of a Final								
	Rejection, or Notice of Allowance, or an action that otherwise closes prosecutin the application.									
	a.	Statement under 37 C.F.R. § 1.97(e)(1). I hereby state that each item of								
		information contained in this Information Disclosure Statement was first								
	cited in any communication from a foreign patent office in a									
		foreign application not more than three months prior to the filing of this								
		Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).								
	□ b.	Statement under 37 C.F.R. § 1.97(e)(2). I hereby state that no item of								
		information in this Information Disclosure Statement was cited in a								
		communication from a foreign patent office in a counterpart foreign								
		application and, to my knowledge after making reasonable inquiry, was								
		known to any individual designated in 37 C.F.R. § 1.56(c) more than								
		three months prior to the filing of this Information Disclosure Statement.								
		37 C.F.R. § 1.97(e)(2).								
	□ c.	Attached is our PTO-2038 Credit Card Payment Form in the amount of								
		\$ in payment of the fee under 37 C.F.R. § 1.17(p).								
<b>4</b> .	Filing	under 37 C.F.R. § 1.97(d) This Information Disclosure Statement is being								
	filed n	nore than three months after the U.S. filing date and after the mailing date								
	of a Final Rejection or Notice of Allowance, but before payment of the Issue Fe									

Enclosed find our PTO-2038 Credit Card Payment Form in the amount of

Appl. No. To Be Assigned (Continuation of Appl. No. 10/151,932; Filed: May 22, 2002)

	\$	in payment of the fee under 37 C.F.R. § 1.17(p); in addition:
	☐ a.	Statement under 37 C.F.R. § 1.97(e)(1). I hereby state that each item of
		information contained in this Information Disclosure Statement was cited
		in a communication from a foreign patent office in a counterpart foreign
		application not more than three months prior to the filing of this
		Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).
	□ b.	Statement under 37 C.F.R. § 1.97(e)(2). I hereby state that no item of
		information in this Information Disclosure Statement was cited in a
		communication from a foreign patent office in a counterpart foreign
		application and, to my knowledge after making reasonable inquiry, was
		known to any individual designated in 37 C.F.R. § 1.56(c) more than
		three months prior to the filing of this Information Disclosure Statement.
		37 C.F.R. § 1.97(e)(2).
	The do	ocument(s) was/were cited in a search report by a foreign patent office in a
	counte	rpart foreign application. Submission of an English language version of
	the sea	rch report that indicates the degree of relevance found by the foreign office
	is pro	vided in satisfaction of the requirement for a concise explanation of
	relevar	nce. 1138 OG 37, 38.
☐ 6.		cise explanation of the relevance of the non-English language document(s) is below:

(Continuation of Appl. No. 10/151,932; Filed: May 22, 2002)

7. Copies of the documents are submitted herewi
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S. Copies of the documents were cited by or submitted to the Office in an IDS that complies with 37 C.F.R. 

§ 1.98(a)-(c) in Application No.10/151,932, filed May 22, 2002, which is relied upon for an earlier filing date under 35 U.S.C. 

§ 120. Thus, copies of these documents are not attached. 37 C.F.R. 
§ 1.98(d).

It is respectfully requested that the Examiner initial and return a copy of the enclosed PTO-1449, and indicate in the official file wrapper of this patent application that the documents have been considered.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

Thomas C. Fiala

Attorney for Applicants Registration No. 43,610

Date: <u>April 2, 2004</u>

1100 New York Avenue, N.W. Washington, D.C. 20005-3934 (202) 371-2600

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					ATTY, DOCKET NO.		APPLICATION NO.		
	1	FORM F	PTO-1449		SP038.C5 (1397.0140005) To Be Assigned FIRST NAMED INVENTOR				
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EXAMINER INITIAL			UMENT MBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE	
	AA1	4,62	26,989	12/02/1986	Torii				
	AB1	4,67	75,806	06/23/1987	Uchida				
	AC1	4,72	22,049	01/26/1988	Lahti				
	AD1	4,80	7,115	02/21/1989	Torng				
	AE1	4,82	23,201	04/18/1989	Simon et al.				
-	AF1	4,90	3,196	02/20/1990	Pomerene et al.				
	AG1	4,942,525		07/17/1990	Shintani et al.				
	AH1	5,06	67,069	11/19/1991	Fite et al.				
	Al1	5,07	72,364	12/10/1991	Jardine et al.	-	-		
	AJ1	5,10	9,495	04/28/1992	Fite et al.				
	AK1	5,12	25,083	06/23/1992	Fite et al.				
				FOREIGN	PATENT DOCUMENTS	<u> </u>	1		
EXAMINER	-		UMENT				<u> </u>		
INITIAL			MBER 88/09035	DATE 11/1988	PCT	CLASS	SUB-CLASS	TRANSLATION	
	AL1							Yes No	
	AM1	0 51	15 166	11/1992	EP			Yes No	
	AN1	H2-	48732	02/19/1990	Japan			Yes No	
			OTHER (	Including Auth	nor, Title, Date, Pertinent	Pages, et	tc.)	140	
	AO	1	Acosta, R. D.	et al., "An Instruction	on Issuing Approach to Enhancing Po E, Vol. C-35, No. 9, pp. 815-828 (Sep	erformance in	Multiple Functional U	nit Processors," IEEE	
	AP	1	Agerwala, T. 31, 1987).	and Cocke, J., "High	Performance Reduced Instruction S	et Processors,	" IBM Research Divisi	on, pp. 1-61 (March	
	AR	1	Butler, M. and Patt, Y., "An Improved Area-Efficient Register Alias Table for Implementing HPS," University of Michigan Ann Arbor, Michigan, 24 pages (January 1990).						
	AS	1	Butler, M. et al., "Single Instruction Stream Parallelism Is Greater than Two," Proceedings of the 18th Annual Internatio Symposium on Computer Architecture, ACM, pp. 276-286 (May 1991).						
	АТ	1	Charlesworth, Computer, IE	. A.E., "An Approach EE, Vol. 14, pp. 18-2	n to Scientific Array Processing: The 17 (September 1981).	Architectural	Design of the AP-120	B/FPS-164 Family,"	
EXAMINER		<u> </u>	<u> </u>			104	TE CONSIDERED		
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	ATTY. DOCKET NO. SP038.C5 (1397.0140005)	APPLICATION NO. To Be Assigned
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	WANG et al.	
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INITIAL	AA2	5,148		09/15/1992	Witek et al.	CLASS	SUB-CLASS	FILING DATE	
	AB2	5,167	.026	11/24/1992	Murray et al.				
	AC2	5,179		01/12/1993	Steely, Jr. et al.				
	AD2	5,197		03/23/1993	Steely, Jr. et al.				
	AE2	5,214	,763	03/25/1993	Blaner et al.				
	AF2	5,222	,240	06/22/1993	Patel				
	AG2	5,226	,126	07/06/1993	McFarland et al.				
	AH2	5,230	,068	07/20/1993	Van Dyke et al.				
	Al2	5,251	,306	10/05/1993	Tran	· · · · · · · · · · · · · · · · · · ·			
	AJ2	5,317	7,720	05/31/1994	Stamm et al.				
- F. S. S.	AK2	5,345	,569	09/06/01994	Tran				
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NITIAL			CUMENT MBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATIO	
	AL2		96132	03/27/1992	Japan			Ye	
	AM2	H6-	19707	01/28/1994	Japan			Ye N	
	AN2							Ye N	
			OTHER	(Including Au	thor, Title, Date, Pertin	ent Pages, etc.	)		
	AO	2	Colwell, R.F	P. et al., "A VLIW A ural Support for Pro	rchitecture for a Trace Scheduling gramming Languages and Opera	g Compiler," <i>Proceed</i> ting Systems, ACM, p	ings of the 2nd Inter pp. 180-192 (Octobe	rnational Conferenc τ 1987).	
	AP	2	Dwyer, H, A Multiple, Out-of-Order Instruction Issuing System for Superscalar Processors, UMI, pp. 1-249 (August 1991).						
	AR	2	Foster, C.C. and Riseman, E.M., "Percolation of Code to Enhance Parallel Dispatching and Execution," <i>IEEE Transactions On Computers</i> , IEEE, pp. 1411-1415 (December 1971).						
	AS	2	Gee, J. et al. 74.	, "The Implementation	on of Prolog via VAX 8600 Micro	ocode," Proceedings	of Micro 19, IEEE, (	October 1986, pp.6	
	АТ	2	Gross, T.R.	and Hennessy, J.L., "amming, IEEE, pp. 1	Optimizing Delayed Branches," A	Proceedings of the 5th	h Annual Workshop	on	
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INITIAL	100	NUM		DATE	NAME	CLASS	SUB-CLASS	FILING DATE	
	AA3	5,355	0,457	10/11/1994	Shebanow et al.				
	AB3	5,367	7,660	11/22/1994	Gat et al.				
	AC3	5,390	),355	02/14/1995	Horst				
	AD3	5,398	3,330	03/14/1995	Johnson				
	AE3	5,430	),888,	07/04/1995	Witek et al.				
	AF3	5,442	2,757	08/15/1995	McFarland et al.				
	AG3	5,487	7,156	01/23/1996	Popescu et al.				
	AH3	5,560	),032	09/24/1996	Nguyen et al.				
	AI3	5,561	1,776	10/01/1996	Popescu et al.				
· · · · · · · · · · · · · · · · · · ·	AJ3	5.568	3,624	10/22/1996	Sites et al.			<del> </del>	
	AK3	5,574	1,927	11/12/1996	Scantlin		-		
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INITIAL	_	NUI	MBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION	
	AL3							Yes	
						-	<del></del>	No	
	AM3							No	
	AN3							Yes	
			OTHER	Including Au	thor, Title, Date, Pertir	nent Pages, etc.)	<u> </u>	No	
_					-				
	AO	3	Hennessy, J.L. and Patterson, D.A., Computer Architecture: A Quantitative Approach, Morgan Kaufmann Publishers, pp. xi-257-278, 290-314 and 449 (1990).						
	AP	<u>3</u>	Hwu, W-M. W. and Patt, Y.N., "Checkpoint Repair for High-Performance Out-of-Order Execution Machines," <i>IEEE Trans. On Computers</i> , IEEE, Vol. C-36, No. 12, pp. 1496-1514 (December 1987).						
	AR	3	Hwu, W. and Patt, Y., "Design Choices for the HPSm Microprocessor Chip," Proceedings of the Twentieth Annual Hawaii International Conference on System Sciences, pp. 330-336 (1987).						
	AS	3	Hwu, W-M. W. and Chang, P.P., "Exploiting Parallel Microprocessor Microarchitectures with a Compiler Code Generator," Proceedings of the 15th Annual Symposium on Computer Architecture, IEEE, pp. 45-53 (June 1988).						
	АТ	3	Hwu, W-M.	et al., "An HPS Imp national Conference	olementation of VAX: Initial Des	ign and Analysis," <i>Proc</i> 1 (1986).	reedings of the Nine	teenth Annual	
EXAMINER		<del>-</del>	1			DATE	CONSIDERED		

		Page 4 of 10
	ATTY. DOCKET NO.	APPLICATION NO.
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	April 2, 2004	To Be Assigned

EXAMINER INITIAL	AA4	DOC NUM 5,592		DATE					
INITIAL						01.400			
			2.636	01/07/1997	NAME Popescu et al.	CLASS	SUB-CLASS	FILING DATE	
			<u> </u>	1011/1001	, oposou ot al.				
	AB4	5,625	5,837	04/29/1997	Popescu et al.				
	AC4	5,627	7,983	05/06/1997	Popescu et al.				
	AD4	5,630	),149	05/13/1997	Bluhm				
	AE4	5,651	,125	07/22/1997	Witt et al.				
	AF4	5,708	3,841	01/13/1998	Popescu et al.				
	AG4	5,768	3,575	06/16/1998	McFarland et al.				
	AH4	5,778	3,210	07/07/1998	Henstrom et al.				
	Al4	5,797	7,025	08/18/1998	Popescu et al.				
	AJ4	5,826	3,055	10/20/1998	Wang et al.			<del> </del>	
	AK4	5,832	2,205	11/03/1998	Kelly et al.		-		
				FOREIG	N PATENT DOCUMENT	s ·		<u> </u>	
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						02.00	000 00,000	Yes	
	AL4	-						No	
	AM4							Yes No	
	T							Yes	
	AN4							No	
	1	1	OTHER	(Including Au	thor, Title, Date, Pertine	ent Pages, etc.)	)		
	AO	4	Hwu, W-M. Proceedings	and Patt, Y.N., "HP. from ISCA-13, IEEI	Sm, a High Performance Restricte E, pp. 297-306 (June 2-5, 1986).	d Data Flow Architec	ture Having Minima	al Functionality,"	
	AP	4	Hwu, W. and Patt, Y., "HPSm2: A Refined Single-Chip Microengine," HICSS '88, IEEE,pp. 30-40 (1988).						
	AR	4	IBM Journal of Research and Development, IBM, Vol. 34, No. 1, pp. 1-70 (January 1990).						
	AS	4	Johnson, M. Superscalar Microprocessor Design, Prentice-Hall, pp. vii-xi and 87-125 (1991).						
	АТ	4	Johnson, W.	M., Super-Scalar Pi	rocessor Design, (Dissertation), 13	34 pages (1989).			
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	ATTY, DOCKET NO.	APPLICATION NO.
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	AA5	5,832	,293	11/03/1998	Popescu et al.				
	AB5	6,131	,157	10/10/2000	Wang et al.				
	AC5	6,412	,064	06/25/2002	Wang et al.	1			
	AD5	5,961	,629	10/05/1999	Nguyen et al.			· · · · · · · · · · · · · · · · · · ·	
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	AO	<u>5</u>	Proceedings of	nd Wall, D.W., "Ava of the 3rd International 2-282 (April 1989).	ailable Instruction-Level Parallelism fo al Conference on Architectural Suppo	or Superscal	ilar and s gramming	Superpipelined Na Languages and	Aachines," 1 Operating Systems,
	АР	<u>5</u>	Keller, R.M., "Look-Ahead Processors," Computing Surveys, ACM, Vol. 7, No. 4, pp. 177-195 (December 1975).						1975).
	AR	<u>5</u>	Lightner, B.D. 1991).	and Hill, G., "The N	Metaflow Lightning Chipset", Compco	on Spring 9)	//, IEEE,	, pp. 13-18 (Febr	ruary 25 - March 1,
	AS	<u>5</u>	Patt, Y.N. et al Workshop on l	l., "Critical Issues Re	egarding HPS, A High Performance M IEEE, pp. 109-116 (December 3-6, 19	Aicroarchite 985).	ecture",	Proceedings of 1	8 <sup>th</sup> Annual
	AT	<u>5</u>	Hwu et al., "F	Experiments with HI 86, IEEE, pp. 254-25	IPS, a Restricted Data Flow Microan 58 (1986).	rchitecture	for Hig	th Performance	Computers,"
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	ATTY. DOCKET NO.	APPLICATION NO.	
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# FORM PTO-1449 INFORMATION DISCLOSURE STATEMENT

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	AB6								
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	AM6	+				-		No Yes	
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	AO	<u>6</u>	Patt, Y.N. et a Microprogran	I., "HPS, A New M uming, Pacific Grov	licroarchitecture: Rationale and Introve, CA, December 3-6, 1985, IEEE C	oduction", <i>The</i> Computer Socie	18 <sup>th</sup> Annual Work ety Order No. 653	shop on i, pp. 103-108.	
	АР	<u>6</u>	Patt et al., "Run-Time Generation of HPS Microinstructions From a VAX Instruction Stream," Proceedings of MICRO 19 Workshop, New York, pp. 75-81 (October 1986).  Peleg, A. and Weiser, U., "Future Trends in Microprocessors: Out-of-Order Execution, Speculative Branching and their CISC Performance Potential", IEEE, pp. 263-266 (1991).						
	AR	<u>6</u>							
	AS	<u>6</u>	Pleszkun, A.R 15th Annual S	. and Sohi, G.S., "T ymposium on Comp	The Performance Potential of Multip puter Architecture, IEEE, pp. 37-44	le Functional U (June 1988).	Jnit Processors,"	Proceedings of the	
	АТ	<u>6</u>	Pleszkun, A.R Symposium on	. et al., "WISQ: A F Computer Architec	Restartable Architecture Using Queucture, ACM, pp. 290-299 (June 1987)	ues," <i>Proceedin</i> 7).	ngs of the 14th Int	ernational	
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## FORM PTO-1449 INFORMATION DISCLOSURE STATEMENT

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	AM7							Yes No		
	AN7							Yes No		
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	AO	7	Popescu, V. et	al., "The Metaflo	ow Architecture", IEEE Micro, IEEE	, Vol. 11, No.3	, pp. 10-13 and 63-	-73 (June 1991).		
	AP	7	Smith, J.E. and	Smith, J.E. and Pleszkun, A.R., "Implementation of Precise Interrupts in Pipelined Processors," <i>Proceedings of the 12th Annual International Symposium on Computer Architecture</i> , IEEE, pp. 36-44 (June 1985).  Smith, M.D. <i>et al.</i> , "Limits on Multiple Instruction Issue," <i>Computer Architecture News</i> , ACM, No. 2, pp. 290-302 (April 3-6, 1989).						
-	AR	7	Smith, M.D. e (April 3-6, 198							
	AS	7	Sohi, G.S. and Conference Pr 1987).	Sohi, G.S. and Vajapeyam, G.S., "Instruction Issue Logic For High-Performance, Interruptable Pipelined Processors," Conference Proceedings of the 14 <sup>th</sup> Annual International Symposium on Computer Architecture, pp. 27-34 (June 2-5, 1987).						
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	АО	9	Uvieghara, G.		perimental Single-Chip Data FI			on ULSI Circuit	ts Design Digest of
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